

# UTILITY PATENT APPLICATION TRANSMITTAL

## (Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
04536.015001

Total Pages in this Submission

### TO THE ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**HARD DISK RECORDER HAVING TIME-SHIFT PLAYBACK FUNCTION**

and invented by:

**Kanji IMANISHI**

If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

#### Application Elements

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 8 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Sequence Listing, a Table, or a Computer Program Listing Appendix
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure



22511

PATENT TRADEMARK OFFICE

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)**

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**Application Elements (Continued)**

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*
- a. ☒ Formal                      Number of Sheets 4
- b. ☐ Informal                      Number of Sheets \_\_\_\_\_
4. ☒ Oath or Declaration
- a. ☒ Newly executed *(original or copy)*                      ☐ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
- c. ☒ With Power of Attorney                      ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under  
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6. ☐ CD ROM or CD-R in duplicate, large table or Computer Program (Appendix)
7. ☐ Application Data Sheet (See 37 CFR 1.76)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all must be included)*
- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ Paper
- c. ☐ Statement(s) Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

9. ☒ Assignment Papers *(cover sheet & document(s))*
10. ☐ 37 CFR 3.73(B) Statement *(when there is an assignee)*
11. ☐ English Translation Document *(if applicable)*
12. ☒ Information Disclosure Statement/PTO-1449                      ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
15. ☒ Certified Copy of Priority Document(s) *(if foreign priority is claimed)* ← This application claims priority from  
Japanese Patent Appl. No. 2002-199516  
filed July 9, 2002
16. ☒ Certificate of Mailing
- ☐ First Class                      ☒ Express Mail *(Specify Label No.):* EV 322006808 US

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*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

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**Accompanying Application Parts (Continued)**

17. ☐ Additional Enclosures *(please identify below):*

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

18. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

***Warning***

***An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.***

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

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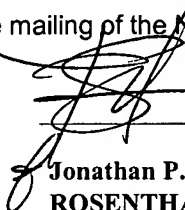
**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	2	- 20 =	0	x \$18.00	\$0.00
Indep. Claims	2	- 3 =	0	x \$84.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$750.00
OTHER FEE (specify purpose) Assignment fee					\$40.00
TOTAL FILING FEE					\$790.00

- ☒ A check in the amount of \$790.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0591 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: 7/8/03

  
#45,077  
Signature  
Jonathan P. Osha, Reg. No. 33,986  
ROSENTHAL & OSHA L.L.P.  
1221 McKinney Street, Suite 2800  
Houston, TX 77010

Tel: (713) 228-8600  
Fax: (713) 228-8778

CC:

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)****Applicant(s):** Kanji IMANISHI**Docket No.**

04536.015001

**Serial No.****Filing Date**

[Herewith]

**Examiner****Group Art Unit****Invention:****HARD DISK RECORDER HAVING TIME-SHIFT PLAYBACK FUNCTION**

I hereby certify that the following correspondence:

Utility Patent Application

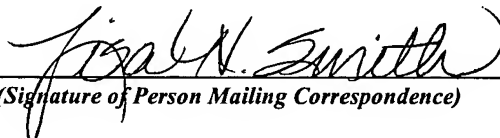
*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office To Addressee" service  
under 37 CFR 1.10 in an envelope addressed to:

Mail Stop: Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

on July 8, 2003  
*(Date)*

Lisa H. Smith*(Typed or Printed Name of Person Mailing Correspondence)*

  
*(Signature of Person Mailing Correspondence)*

EV 322006808 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
**04536.015001**

In Re Application Of: **Kanji IMANISHI**

Serial No.

Filing Date  
[Herewith]

Examiner

Group Art Unit

Title: **HARD DISK RECORDER HAVING TIME-SHIFT PLAYBACK FUNCTION**

Address to:

**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
  2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).



**22511**

PATENT TRADEMARK OFFICE

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
**04536.015001**

In Re Application Of: **Kanji IMANISHI**

Serial No.

Filing Date  
[Herewith]

Examiner

Group Art Unit

Title: **HARD DISK RECORDER HAVING TIME-SHIFT PLAYBACK FUNCTION**

### Payment of Fee

**(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))**

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. **50-0591** as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

### Certificate of Transmission by Facsimile\*

I certify that this document and authorization to charge  
deposit account is being facsimile transmitted to the United  
States Patent and Trademark Office (Fax. No.  
\_\_\_\_\_) on \_\_\_\_\_  
(Date)

**Signature**

***Typed or Printed Name of Person Signing Certificate***

### Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited on \_\_\_\_\_ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

**Signature of Person Mailing Correspondence**

***Typed or Printed Name of Person Mailing Correspondence***


**\*This certificate may only be used if paying by deposit account.**

Dated: 7/8/03

**Jonathan P. Osha, Reg. No. 33,986**  
**ROSENTHAL & OSHA L.L.P.**  
**1221 McKinney Street, Suite 2800**  
**Houston, TX 77010**

**Tel: (713) 228-8600**  
**Fax: (713) 228-8778**

**CC:**

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> <b>Applicant(s):</b> Kanji IMANISHI			<b>Docket No.</b> 04536.015001
<b>Serial No.</b>	<b>Filing Date</b> [Herewith]	<b>Examiner</b>	<b>Group Art Unit</b>
<b>Invention:</b>  <b>HARD DISK RECORDER HAVING TIME-SHIFT PLAYBACK FUNCTION</b>			
I hereby certify that the following correspondence:  Information Disclosure Statement <hr/> <i>(Identify type of correspondence)</i>  is being deposited with the United States Postal Service "Express Mail Post Office To Addressee" service under 37 CFR 1.10 in an envelope addressed to:  Mail Stop: Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450  on <u>July 8, 2003</u> . <i>(Date)</i>  <hr/> Lisa H. Smith <i>(Typed or Printed Name of Person Mailing Correspondence)</i>  <hr/>  <i>(Signature of Person Mailing Correspondence)</i>  <hr/> EV 322006808 US <i>("Express Mail" Mailing Label Number)</i>			
<b>Note: Each paper must have its own certificate of mailing.</b>			